

Exhibit A-3  
Witnesses Employed or Controlled by Defendants

All of the following categories of persons employed by the Defendants are likely to have relevant testimony in this matter:

- All persons with information relating to or involvement with the Certain Threshold Securities Investigation;
- All persons employed by the Defendants from January 1, 2003 through the present in the Compliance or regulatory departments or divisions of each of the Defendants with duties relating to Reg. SHO, short sales, conversions, options, locates or fails to deliver/receive;
- All persons employed by the Defendants from January 1, 2003 through the present with substantive responsibility or oversight of TASER buys, sells, borrows, loans, options, conversions or fails;
- All persons employed by the Defendants from January 1, 2003 through the present who traded or oversaw trading of TASER securities or options; and
- All persons employed by the Defendants from January 1, 2003 through the present who served as the head(s) of securities lending/stock loan.

In addition to the categories of persons described above, the following persons, identified with regard to the Defendant with whom they are associated, have knowledge regarding the matters at issue in this case:

Defendant Bank of America Securities ("BAS") Employees or Agents:

Name	Knowledge
Aiello, Richard	BAS employee knowledgeable about settlement and clearance of transactions
Allan, Roseann	BAS employee knowledgeable about stock lending
Amatao, Guy	BAS employee knowledgeable about clearance and settlement of transactions
Avena, Vincent	Former BAS employee knowledgeable about policies and procedures regarding borrowing and lending of TASER securities
Bowler, Edward	BAS employee knowledgeable about policies and procedures regarding SEC Rule 15c3-3 and about regulatory inquiries
Brown, Jesse	BAS employee knowledgeable about regulatory inquiries
Camerino, Chris	BAS employee who is knowledge about compliance procedures for prime brokerage division and about regulatory inquiries
Chen, Edwin	BAS employee who is knowledge about compliance procedures for prime brokerage division
Cherry, Elin	BAS employee who is knowledge about compliance procedures for prime brokerage division
Cohen, Jeff	Former BAS employee who was head of the prime brokerage division
Cusick, Derrick	BAS employee knowledgeable about borrowing and lending of securities

Daffner, Marci	BAS employee who is knowledge about compliance procedures for prime brokerage division
Dailey, Glen	BAS employee knowledgeable about policies and procedures regarding short selling and affirmative determinations
D'Angelo, Michael	BAS employee knowledgeable about policies and procedures regarding short selling and affirmative determinations
Devine, Frank	BAS employee who is knowledge about compliance procedures for prime brokerage division
Dnistran, Anna	BAS employee knowledgeable about policies and procedures regarding clearance and settlement
Fiduccia, Frank	BAS compliance employee who is knowledgeable about the operations group, Regulation SHO Long Sale Committee, and regulatory inquiries
Holmes, John	BAS employee knowledgeable about policies and procedures regarding buy ins and short selling procedures
Jose, Matthew	BAS employee knowledgeable about policies and procedures regarding buy ins
Krawciw, Roman	BAS employee knowledgeable about prime brokerage operations and policies and procedures
Lee, Arthur	BAS employee knowledgeable about clearance and settlement of transactions
Lewis (Prude), Claudia	Former BAS employee who is knowledge about compliance procedures for prime brokerage division and about regulatory inquiries
Ly, David	BAS employee knowledgeable about prime brokeravge operations and policies and procedures
Palmer, Craig	BAS employee who is knowledge about compliance procedures for prime brokerage division
Patel, Babu	Former BAS employee who is knowledgeable about policies and procedures related to settlement and clearance
Perri, Steven	BAS employee knowledgeable about stock loan

	policies and procedures
Pesce, Christopher	Former BAS employee who was head of the prime brokerage division
Rosanno, Tom	BAS employee knowledgeable about stock lending
Ruggiero, Vincent	BAS employee who is knowledgeable about policies and procedures related to settlement and clearance
Samardin, David	BAS employee who is knowledge about compliance procedures for prime brokerage division
Slavin, Maria	BAS employee knowledgeable about policies and procedures regarding SEC Rule 15c3-3
Smith, Steven	BAS employee who is knowledgeable about policies and procedures related to settlement and clearance
Straubel, Mark	BAS employee knowledgeable about regulatory inquiries
Torres, Alfred	BAS employee knowledgeable about clearance and settlement of transactions
Vetell, Mike	BAS employee knowledgeable about stock lending
Walter, Russ	BAS employee knowledgeable about short selling and affirmative determinations
Wesley, Joseph	BAS employee knowledgeable about Reg SHO procedures
Yee, King	BAS employee who is knowledge about compliance procedures for prime brokerage division
Zirpolo, Sara	BAS employee knowledgeable about stock lending and affirmative determinations
Goetz, Wendy	BAS employee who is knowledge about compliance procedures for prime brokerage division and about regulatory inquiries
Bynoe, Heather	BAS employee knowledgeable about failures to deliver
Henderson, Stuart	BAS employee knowledgeable about regulatory reporting
Murphy, Heather	Former BAS employee who is knowledge about compliance procedures for prime brokerage division
Boston, Mike	BAS employee knowledgeable about clearance and

	settlement of transactions
O'Hearn, Nancy	BAS employee knowledgeable about execution of buy-ins
Kletter, Justin	BAS employee knowledgeable about regulatory inquiries
Rogers, Michael	BAS employee knowledgeable about regulatory inquiries
Bianco, Michele	BAS employee knowledgeable about regulatory inquiries
Sena, Jack	BAS employee knowledgeable about regulatory inquiries
Margolin, Andrew	BAS employee knowledgeable about regulatory inquiries
Mattioni, Brian	BAS employee knowledgeable about regulatory inquiries
Rauzi, Richard	BAS employee knowledgeable about regulatory inquiries
Whalen, Nick	BAS employee knowledgeable about regulatory inquiries
Melamed, Patty	BAS employee knowledgeable about regulatory inquiries
McLaughlin, Glen	BAS employee knowledgeable about regulatory inquiries
Cimino, Toni	BAS employee knowledgeable about regulatory inquiries
Hammer, Cade	BAS employee knowledgeable about regulatory inquiries
Wallon, Shea Z.	BAS employee knowledgeable about verification she provided
Hammond, Todd	BAS employee knowledgeable about verification he provided

Defendant Bear Stearns' Employees or Agents:

Name	Knowledge
Adams, Wayne	Bear Stearns employee knowledgeable about stock record
Aiose, Joe	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Alimena, Toni	Bear Stearns employee knowledgeable regarding policies and procedures related to settlement of transactions
Anderson, John	Bear Stearns employee knowledgeable about policies and procedures regarding purchase and sales department
Arce, Josephine	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Armstrong, Tracy	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Ashby, Ronell	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
Bartee, Robin	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Bavaro, Frank	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins
Bello, Tom	Bear Stearns employee knowledgeable about prime brokerage operations
Berdecia, Noel	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Bernstein, Jeff	Bear Stearns employee knowledgeable about policies and procedures related to Regulation SHO
Bianco, Filomena	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Binns, Adrian	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Biondi, Thomas	Bear Stearns employee knowledgeable about policies

	and procedures regarding clearance of options transactions
Brunson, Robert	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Busichio, Mary Beth	Bear Stearns employee knowledgeable about policies and procedures related to Regulation SHO
Cairney, William	Bear Stearns employee knowledgeable about policies and procedures related to Regulation SHO
Callanan, John	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Capone, John	Bear Stearns employee knowledgeable about Regulation SHO working group
Carfi, Tina	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Casper, Jason	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Catapano, Michael	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Cavallo, Robert	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Cavanaugh, Patricia	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Cestaro, Patricia	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Cherry, Yvette	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Clyne, Kenneth	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Colandrea, Nick	Bear Stearns employee knowledgeable about policies and procedures related to failures to deliver
Colonna, Anthony	Bear Stearns employee knowledgeable about Regulation SHO working group
Correa, Wilfredo	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Cruz, Lisa	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers

DeRosa, Melanie	Bear Stearns employee knowledgeable about policies and procedures regarding purchase and sales department
Dicks, Vincent	Bear Stearns employee knowledgeable about Regulation SHO working group
Dimon, Jamie	Bear Stearns executive knowledgeable about positions taken by company regarding naked short selling
Distell, Gary	Bear Stearns employee knowledgeable about Regulation SHO working group
Dowdy, Troy	Bear Stearns employee knowledgeable about policies and procedures related to failures to deliver
Ferguson, Michael	Bear Stearns employee knowledgeable about Regulation SHO working group
Findlay, Mary Beth	Bear Stearns employee knowledgeable about Regulation SHO working group
Freilich, Bill	Bear Stearns employee knowledgeable about policies and procedures related to Regulation SHO
Gabrielle, John	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Gentile, Rich	Bear Stearns employee knowledgeable about Regulation SHO working group
Gosling, William	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Grazioli, Stephen	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Gross, Eric	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Harasek, Stephen	Bear Stearns employee knowledgeable about Regulation SHO working group
Harding, Michelle	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and fails
Hedberg, Phyllis	Bear Stearns employee knowledgeable about policies and procedures regarding stock lending
Henao, Katherine	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and fails
Hernandez, Matthew	Bear Stearns employee knowledgeable about policies



	and procedures regarding receives and delivers
Holmes, Debra	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Hong, Silva	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Hoover, Anthony	Bear Stearns employee knowledgeable about policies and procedures regarding fails
Huancayo, Byron	Bear Stearns employee knowledgeable about policies and procedures regarding clearance of transactions
Hyatt, Tasha	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
James, Henry	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Jimenez, Keith	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins
Johnson, Theo	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
Kreider, Kurtis	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Lamke, James	Bear Stearns employee knowledgeable about Regulation SHO working group
Lando, Madeulyn	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Leung, Patricia	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver and buy ins
Levine, David	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
Lewis, Ronald	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver and buy-ins
Longo, Steven	Bear Stearns employee knowledgeable regarding Bear Stearns's compliance procedures relating to affirmative determinations
Lorber, Linda	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Loubier, Gabe	Bear Stearns employee knowledgeable about

	Regulation SHO Working Group
Lowe, Peter	Bear Stearns employee knowledgeable about Regulation SHO working group
Lyons, Robert	Bear Stearns employee knowledgeable about Regulation SHO working group
Maldonado, Hector	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
McCarthy, Denis	Bear Stearns employee knowledgeable about policies and procedures related to Regulation SHO
McLaughlin, James	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
Miller, Robert	Bear Stearns employee knowledgeable about policies and procedures regarding clearing of transactions
Murphy, Peter	Bear Stearns employee knowledgeable about Regulation SHO working group
Nash, Keith	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and failures to deliver
Naughton, Patric	Bear Stearns employee knowledgeable about Regulation SHO working group
Nicholas, Pamela	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Nierva, Michael	Bear Stearns employee knowledgeable about policies and procedures regarding Regulation SHO
Padilla, Amparito	Bear Stearns employee knowledgeable about policies and procedures regarding clearing of transactions
Pagan, Victor	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Palmieri, Anthony	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Papa, Keith	Bear Stearns employee knowledgeable about policies and procedures regarding settlement of transactions
Pecorella, Richard	Bear Stearns employee knowledgeable about policies and procedures regarding prime brokerage
Perez, Mayra	Bear Stearns employee knowledgeable about policies

	and procedures regarding failures to deliver; knowledge regarding Bear Stearns' verification to plaintiffs Second Interrogatory No. 5 and the veracity thereof
Perez, Sandy	Bear Stearns employee knowledgeable about policies and procedures regarding purchase and sale department
Pershing, Kenneth	Bear Stearns employee knowledgeable about Regulation SHO working group
Pooran, Navindra	Bear Stearns employee knowledgeable about policies and procedures regarding clearance and settlement
Praetorious, Robert	Bear Stearns employee knowledgeable about policies and procedures regarding clearance
Previl, Darling	Bear Stearns employee knowledgeable about policies and procedures regarding clearance
Pulsifer, Keith	Bear Stearns employee knowledgeable about Regulation SHO working group
Reinemann, Steven	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Robinson, Wonda	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Roby, Art	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations
Rodriguez, Andrew	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations and buy-ins
Santangelo, Frank	Bear Stearns employee knowledgeable about policies and procedures regarding segregating securities pursuant to Rule 15c3-3
Scarangelo, Alfred	Bear Stearns employee knowledgeable about policies and procedures regarding clearance and settlement
Schisler, Joel	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and failures to deliver
Serravillo, Rosario	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and failures to deliver

Serra, Gaetano	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and failures to deliver
Sheeran, Jennifer	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and failures to deliver
Sherrick, Eileen	Bear Stearns employee knowledgeable about Regulation SHO working group
Smith, Terrence	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver and buy-ins
Sorentino, Antionette	Bear Stearns employee knowledgeable about policies and procedures regarding affirmative determinations and stock lending
Stepanoff-Dargery, Alexander	Bear Stearns employee knowledgeable about policies and procedures regarding clearance and settlement
Stern, Jerry	Bear Stearns employee knowledgeable about policies and procedures regarding clearance
Talento, Scott	Bear Stearns employee knowledgeable about Regulation SHO working group
Taoromina, Karen	Bear Stearns employee knowledgeable about policies and procedures regarding purchase and sale department
Tidona, Giovanni	Bear Stearns employee knowledgeable about policies and procedures regarding cash on delivery department
Torres, Sonia	Bear Stearns employee knowledgeable about policies and procedures regarding receives and delivers
Vysocky, Stanley	Bear Stearns employee knowledgeable about policies and procedures regarding segregating securities pursuant to Rule 15c3-3
Washburn, Roger	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins
Weathers, Vincent	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and fails
Woo, Austin	Bear Stearns employee knowledgeable about policies and procedures regarding buy-ins and fails

Wu, Jerry	Bear Stearns employee knowledgeable about policies and procedures regarding clearance and settlement
Yu, Shek	Bear Stearns employee knowledgeable about policies and procedures regarding failures to deliver
Berdeguez, Frank	Bear Stearns employee knowledgeable about policies and procedures regarding delivery and receipt of stock loans and borrows
O'Neill, Mary Lynn	Bear Stearns employee who had discussions with government related to short-selling regulation
Whille, Tracy	Bear Stearns employee knowledgeable about regulatory inquiries
Seeley, Paul	Bear Stearns employee knowledgeable about regulatory inquiries
Delon, Marlene	Bear Stearns employee knowledgeable about regulatory inquiries
Padin, Daiansa	Bear Stearns employee knowledgeable about regulatory inquiries
Greco, Charlie	Bear Stearns employee knowledgeable about regulatory inquiries
La Michela, Joseph	Bear Stearns employee knowledgeable about regulatory inquiries
James, Scott	Bear Stearns employee knowledgeable about TASER affirmative determination requests

Defendant Credit Suisse's Employees and Agents:

Name	Knowledge
Acosta, Jessica	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Albanese, Michael	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Albinsson, Sabrina	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver

Albrecht, Fred	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Avery, Brian	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Blando, Michael	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Blunda, Thomas	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Boasi, John	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Bonnano, Biagio	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Boundy, Stephen	Credit Suisse employee knowledgeable about policies and procedures related to SEC Rule 15c3-3
Braddick, Dan	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Cheung, Cheih	Credit Suisse employee knowledgeable about policies and procedures regarding settlement and clearance of transactions
Ciasca, Michael	Credit Suisse employee knowledgeable about policies and procedures regarding settlement and clearance of transactions
Cortez, Steve	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Dalhausser, Michael	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
D'Amico, Charles	Credit Suisse employee knowledgeable about

	policies and procedures regarding failures to deliver
DeBenedetto, Steve	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
DeFeo, Erika	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Delaney, Sean	Credit Suisse employee knowledgeable about policies and procedures related to compliance with Regulation SHO and about regulatory inquiries
Dessources, Myriam	Credit Suisse employee knowledgeable about policies and procedures related to settlement of transactions
DeVito, Jodi	Credit Suisse employee knowledgeable about policies and procedures related to prime brokerage
Erigo, Joseph	Credit Suisse employee knowledgeable about policies and procedures related to Regulation SHO
Fisher, John	Credit Suisse employee knowledgeable about policies and procedures related to compliance with Regulation SHO; knowledge regarding verification of Credit Suisse's response to Plaintiffs' Second Interrogatory No. 5 and the veracity thereof
Garvey, Loretta	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Gilliam, Michelle	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Harkins, Tom	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Hayes, Brian	Credit Suisse employee knowledgeable about

	policies and procedures regarding failures to deliver and settlement of transactions
Hernandez, Noel	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Iafelice, Thomas	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver and settlement of transactions
Italiano, Joanne	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Jain, Robert	Credit Suisse employee knowledgeable about policies and procedures related to Regulation SHO
Linkens, Richard	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Mahler, Larry	Credit Suisse employee knowledgeable about policies and procedures regarding settlement of transactions
Mahon, John	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
McCann, Edward	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
McGarry, John	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Miller, Maura	Credit Suisse employee knowledgeable about regulatory inquiries
Montagnino, Christopher	Credit Suisse employee knowledgeable about regulatory inquiries
Morrongiello, Mike	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Murtagh, Gerry	Credit Suisse employee knowledgeable about



	policies and procedures related to derivatives
Nass, Rachel	Credit Suisse compliance employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Nisivocci, Rocco	Credit Suisse employee knowledgeable about policies and procedures regarding securities lending
Olson, Jennifer	Credit Suisse employee knowledgeable about policies and procedures regarding settlement of transactions
Ong, Jennifer	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Page, Cheri	Credit Suisse employee knowledgeable about policies and procedures related to buy-ins
Palladino, Anthony	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Palmer, Scott	Credit Suisse employee knowledgeable about regulatory inquiries
Plaza, Robert	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Polera, Douglas	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Rodriguez, Diana	Credit Suisse employee knowledgeable about policies and procedures related to buy-ins
Schulman, Steven	Credit Suisse employee knowledgeable about policies and procedures related to operations department
Stappenbeck, Mark	Credit Suisse employee knowledgeable about policies and procedures related to operations department
Sullivan, Shawn	Credit Suisse employee knowledgeable about policies and procedures regarding securities

	lending
Sung, Gina	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Tann, Nicholas	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Tasso, Thomas	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations and stock lending
Tong, Ilsa	Credit Suisse employee knowledgeable about policies and procedures related to settlement and clearance of transactions
Torres, Tanya	Credit Suisse employee knowledgeable about policies and procedures regarding failures to deliver
Tucker, Sheila	Credit Suisse employee knowledgeable about policies and procedures related to settlement and clearance of transactions
Ugarte, Maximo	Credit Suisse employee knowledgeable about policies and procedures related to settlement and clearance of transactions
Viegas, John	Credit Suisse employee knowledgeable about policies and procedures related to settlement and clearance of transactions
Walsh, Theodore	Credit Suisse employee knowledgeable about policies and procedures related to buy-ins
Weisser, Lindsey	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
White, LaToya	Credit Suisse employee knowledgeable about policies and procedures related to buy-ins
Yacoobi, Zubin	Credit Suisse employee knowledgeable about policies and procedures related to operations department and Regulation SHO
Zafiris, Tom	Credit Suisse employee knowledgeable about policies and procedures related to operations

	department and Regulation SHO
Zirpolo, Rory	Credit Suisse employee knowledgeable about policies and procedures regarding securities lending
Meyer, Allen	Credit Suisse employee knowledgeable about regulatory inquiries
Ludwig, Michael	Credit Suisse employee knowledgeable about regulatory inquiries
Zuelch, Matthew	Credit Suisse employee knowledgeable about regulatory inquiries
Burstein, Deborah	Credit Suisse employee knowledgeable about regulatory inquiries
Wilmoth, James	Credit Suisse employee knowledgeable about regulatory inquiries
Kim, Charlie	Credit Suisse employee knowledgeable about regulatory inquiries
Julian, Michael	Credit Suisse employee knowledgeable about regulatory inquiries
Kozlowski, Peter	Credit Suisse employee who provided an interrogatory verification
Lewis, Jared	Credit Suisse employee knowledgeable about settlement of TASER transactions
Langin, Justin	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Marretta, Ann	Credit Suisse employee knowledgeable about policies and procedures related to settlement and clearance of transactions
Vasan, Phill	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Scholl, Steve	Credit Suisse employee knowledgeable about policies and procedures related to affirmative determinations
Lafaman, Jim	Credit Suisse employee knowledgeable about policies and procedures related to prime brokerage

Bailey, Mark	Credit Suisse employee knowledgeable about policies and procedures related to failures to deliver
Klugman, Rob	Credit Suisse employee knowledgeable about policies and procedures related to prime brokerage
McAvoy, John	Credit Suisse employee knowledgeable about policies and procedures related to prime brokerage
Skerritt, Dwight	Credit Suisse employee knowledgeable about policies and procedures related to prime brokerage
Lynch, Steven	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Wood, Christopher	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Arias, Ruben	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Brawer, Marc	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Leonard, Michael	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Kyriannis, Dorothy	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Scheehle, Timothy	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Gorman, John	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Peters, Melissa	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Bentham, Tim	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Paliseno, Michael	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Guli, William	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Blair, Benjamin	Credit Suisse employee knowledgeable about

	Reg SHO Fail Tracking
Fuchs, Betty	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking
Chung, Phyllis	Credit Suisse employee knowledgeable about Reg SHO Fail Tracking

Defendant Deutsche Bank Securities, Inc. ("DBSI")'s Witnesses and Agents:

Name	Knowledge
Aldworth, James	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Atkins, Gregory	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Augustine, Andre	DBSI employee knowledgeable about operations related to securities lending
Axelrod, Mark	DBSI employee knowledgeable about policies and procedures regarding segregation of securities
Azzillini, Lauren	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Babbitt, Keith	DBSI employee knowledgeable about policies and procedures related to securities lending
Bissonette, Jason	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Boothman, Natalie	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Bray, Paul	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to securities lending; knowledge regarding DBSI's response to Plaintiffs Second Interrogatory No. 5, the verification thereof and the veracity of that response

Busby, Paul David	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Canter, David	DBSI employee knowledgeable about policies and procedures regarding clearance and settlement
Caporale, Anthony	DBSI employee knowledgeable about policies and procedures regarding clearance and settlement
Cella, Dan	DBSI employee knowledgeable about policies and procedures regarding clearance and settlement
Connelly, Edwin	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Coslian, Gregory	DBSI employee knowledgeable about policies and procedures regarding clearance and settlement of options transactions
Cutrone, Jane	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Datre, Matthew	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Dedilectis, Gary	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
deLeon, Margarita	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
DeMonte, Anthony	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Desiderio, Matthew	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Doucette, Alex	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Driscoll, Michael	DBSI employee knowledgeable about DBSI's compliance with rules and regulations regarding short sales
Duffy, James	DBSI employee knowledgeable about policies and

	procedures related to settlement and clearance
Ennis, Dianna	DBSI employee knowledgeable about policies and procedures related to buy-ins
Fanelli, John	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Feeney, John	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Fusco, Louis	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Gee, Nelson	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Geremia, Cheryl	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Girin, Kiril	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Hernandez, Noel	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Hodgens, James	DBSI employee knowledgeable about policies and procedures related to buy-ins
Iannone, John	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Kennedy, Kenneth	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Kolb, Craig	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Lagnese, Matthew	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Lailey, James B.	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Lang, Richard P.	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Langiulli, Vanessa	DBSI employee knowledgeable about policies and

	procedures regarding affirmative determinations and securities lending
Lescailli, Angela	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Madden, Thomas	DBSI employee knowledgeable about policies and procedures related to failures to deliver
Marziliano, Michael	DBSI employee knowledgeable about policies and procedures regarding segregation of securities
Matthews, Mark	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
McBride, John	DBSI employee knowledgeable about policies and procedures related to failures to deliver
Merola, Michael	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Messina, Loren	DBSI employee knowledgeable about policies and procedures related to failures to deliver
Morenzi, Lee	DBSI employee knowledgeable about interrogatories about policies and procedures related to failures to deliver
Noskov, Alexander	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
O'Brien, Margaret	DBSI employee knowledgeable about DBSI's compliance with rules and regulations regarding short sales and interrogatories she verified
O'Keeffe, Michael	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Polito, Anthony	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Powell, Trina	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Quinonez, Selena	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Rosenthal, Lourdes	DBSI employee knowledgeable about interrogatories about policies and procedures related to failures to deliver



Roux, Matthew	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Rust, Casey	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Rutherford, Tony	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Ryan, William	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to settlement and clearance
Schweitzer, Scott	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Shah, Mihir	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Silveira, Mike	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Simon, Scott	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to settlement and clearance
Smith, Wayne	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Stein, Jon	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Stucchio, Anthony	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to settlement and clearance
Sween, Michael	DBSI employee knowledgeable about policies and procedures related to settlement and clearance
Sylvester, Wendy	DBSI employee knowledgeable about policies and procedures regarding segregation of securities
Tancredi, Chris	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending

Voelker, Kelley	DBSI employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Washington, Michelle	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to settlement and clearance
Kiernan, Matthew	DBSI employee knowledgeable about interrogatories he verified and policies and procedures related to settlement and clearance
Kelly, Thomas	DBSI employee knowledgeable about DBSI's compliance with rules and regulations regarding short sales
Fiorica, Anthony	DBSI employee knowledgeable about DBSI's compliance with rules and regulations regarding short sales
Bosco, Anthony	DBSI employee knowledgeable about DBSI's compliance with rules and regulations regarding short sales and interrogatories he verified as well as veracity thereof
Kelly, Francis	DBSI employee knowledgeable about lobbying activities related to short selling
Cox, Terrence	DBSI employee knowledgeable about lobbying activities related to short selling
Khuzami, Robert	Former DBSI employee knowledgeable about regulatory inquiries
Rice, Robert E.	DBSI employee knowledgeable about regulatory inquiries
Pfeffer, Marc J.	DBSI employee knowledgeable about regulatory inquiries
Gallinek, Eric	DBSI employee knowledgeable about regulatory inquiries
Polizzotto, Joseph	DBSI employee knowledgeable about regulatory inquiries

Goldman Sachs Defendants Employees and Agents:

Name	Knowledge
Andrews, Elton	Goldman Sachs employee responsible for reviewing exception reports involving short selling
Arguinzoni, David	Goldman Sachs employee knowledgeable about policies and procedures regarding settlement of trades
Aversa (Maida), Emily	Goldman Sachs Securities Lending, Risk Control Group employee
Bachner, Mike	Goldman Sachs employee knowledgeable about policies and procedures regarding options transactions
Barnitz, Stephen	Goldman Sachs supervisor in Options and Derivatives Group responsible for ensuring firm complies with rules, regulations, and laws regarding options transactions
Blankfein, Lloyd	CEO of Goldman Sachs, made statements regarding Goldman's position on naked short selling of its own stock; knowledge of company's position on impact of naked short selling; knowledge of short selling rules and regulations; knowledge of company's policies and procedures; knowledge of communications with SEC, Treasury and others regarding naked short selling
Blondo, Dennis	Goldman Sachs employee knowledgeable about compliance with SEC Rule 15c3-3
Bonn, Ralane	Goldman Sachs employee who worked in stock lending on demand team
Borges, Jacqui	Goldman Sachs supervisor knowledgeable about compliance with SEC Rule 15c3-3
Brennan, Mike	Goldman Sachs trader who engaged in short sales of TASER

Buffolino, Mattia	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Cahill, Adam	Goldman Sachs supervisor of Compliance Risk Control Group, which was responsible for compliance with rules, regulations and laws regarding short sales
Carroll, Sean	Goldman Sachs employee knowledgeable about policies and procedures regarding clearance of trades
Chisholm, Patrick	Goldman Sachs stock lending employee responsible for sourcing supply of stocks to be lent
Chow, Judy	Goldman Sachs compliance employee responsible for stock lending desk; knowledge relating to hedging strategies group, policies and procedures for short sales and conversions, reverse conversions and options; knowledge of locate and other short selling rules and regulations.
Ciasca, Michael	Goldman Sachs employee knowledgeable about policies and procedures regarding buy-ins
Ciavarella, Frank	Goldman Sachs employee knowledgeable about policies and procedures regarding settlement of trades
Cohen, Mitchell J	Goldman Sachs supervisor in Fails and Exposure Management Group responsible for ensuring firm complies with rules, regulations, and laws regarding settlement of trades
Colon, Miguel	Goldman Sachs employee knowledgeable about policies and procedures regarding settlement of trades
Concha, Pedro	Goldman Sachs supervisor in Fails and Exposure Management Group responsible for ensuring firm complies with rules, regulations, and laws regarding settlement of trades
Conti, James	Goldman Sachs stock lending employee whose

	responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Cryan, Kevin	Goldman Sachs Securities Lending, Risk Control Group employee
Dengler, James	Goldman Sachs stock lending employee responsible for sourcing supply of stocks to be lent; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Du, Thai-An	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Durso, Steve	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Fischer, Matthew	Goldman Sachs supervisor in Americas Settlements Group with responsibility to ensure firm complies with rules, regulations, and laws applicable to settlement and clearance of trades
Fodera, Giovanni	Goldman Sachs supervisor of Compliance Risk Control Group, which was responsible for compliance with rules, regulations and laws regarding short sales
Forte, Paulino	Goldman Sachs supervisor knowledgeable about compliance with SEC Rule 15c3-3

Gargano, Gabriela	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Gaver, Brian	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding trading
Geary, Debbie	Goldman Sachs employee knowledgeable about policies and procedures regarding options transactions
Gee, Dan	Goldman Sachs Securities Lending, Risk Control Group employee
Goldberger, Steven	Goldman Sachs Securities Lending, Risk Control Group employee
Higgins, Jamie	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Holt, Kevin	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Jack, Kathleen	Goldman Sachs compliance officer
Kalla, Srikant	Goldman Sachs employee in Americas Settlements Group
Kellogg, James	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Kim, Yeeneee	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Kintner, Andrew	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Kirwin, Sean	Goldman Sachs stock lending employee whose

	responsibility included managing demand for hard-to-borrow stocks
Kong, Wendy	Goldman Sachs compliance employee responsible for stock lending desk
Kroeker, Crystal	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Kwan, Diana	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Lapar, Phil	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Levene, Stephen	Goldman Sachs Securities Lending, Risk Control Group employee
Lynch, James	Goldman Sachs employee knowledgeable about policies and procedures regarding clearance of trades
Mariani, Fabio	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Mathews, Jeffrey	Goldman Sachs supervisor of Trading Compliance Group, which was responsible for compliance with rules, regulations and laws regarding short sales
McGowan, Mark D.	Goldman Sachs stock lending employee responsible for sourcing supply of stocks to be lent
McLee, Jay	Goldman Sachs supervisor of Compliance Risk Control Group, which was responsible for compliance with rules, regulations and laws regarding short sales

McWilliams, Kelly	Goldman Sachs supervisor in Securities Lending Group
Miller, David	Goldman Sachs employee responsible for reviewing reports regarding mismarking of tickets
Milo, Robert	Goldman Sachs employee in Americas Settlements Group
Moore, Greg	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Muigai (Ndibo), Irene	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Mulcahy, Kevin	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding short sales
Murphy, Brian	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Murray, Anthony J	Goldman Sachs stock lending employee responsible for sourcing supply of stocks to be lent
Nassau, Brad	Goldman Sachs compliance employee responsible for stock lending desk
Petrosino, Richard	Goldman Sachs supervisor in Settlements Group responsible for ensuring firm complies with rules, regulations, and laws regarding settlement of trades
Pirih, Frank	Goldman Sachs supervisor in Options and Derivatives Group responsible for ensuring firm complies with rules, regulations, and laws regarding options transactions



Pollock, Jason	Goldman Sachs compliance employee knowledgeable about policies and procedures regarding trading
Pomarico, Gary	Goldman Sachs supervisor in Trading Operations Group responsible for ensuring firm complies with rules, regulations, and laws regarding clearance of trades
Pradet, Steve	Goldman Sachs employee in Americas Settlements Group
Roopnarine, Amelia	Goldman Sachs prime broker compliance employee
Rosenbloom, Samuel	Goldman Sachs trader who executed short sales of TASER for Goldman Sachs's "Hard Stock Account"; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Rubolitta, Anthony	Goldman Sachs supervisor in Securities Lending Group
Russo, Paul	Goldman Sachs employee who drafted letters to SEC regarding Goldman's position on short selling; knowledge of impact of short selling; knowledge of communications with SEC and other government officials regarding short selling
Simms, Kelly	Goldman Sachs employee knowledgeable about policies and procedures regarding settlement of trades
Sosnoski, Gregory	Goldman Sachs supervisor in Options and Derivatives Group responsible for ensuring firm complies with rules, regulations, and laws regarding options transactions
Springer, Ken	Goldman Sachs employee in Americas Settlements Group
Sulpizio, Dave	Goldman Sachs Vice President of Settlement and Financing. Oversaw employees with

	responsibility for settling transactions.
Tanzi, Vito	Goldman Sachs stock lending employee responsible for sourcing supply of stocks to be lent
Valentine, Walter G	Goldman Sachs Securities Lending, Risk Control Group employee
Wade, Robyn	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks
Wondrack, John	Goldman Sachs supervisor in Americas Settlements Group with responsibility to ensure firm complies with rules, regulations, and laws applicable to settlement and clearance of trades
Zaccarelli, Chris	Goldman Sachs stock lending employee whose responsibility included managing demand for hard-to-borrow stocks; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Ostroff, Larry	Goldman Sachs trader who executed short sales of TASER for Goldman Sachs's "Hard Stock Account"; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Ghalioungui, Bryan	Goldman Sachs employee who executed TASER conversion and other options transactions; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
DeCarlo, Rocco	Goldman Sachs employee knowledgeable about regulatory inquiry; knowledge of conversions,

	reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Breckenridge, Jonathan	Goldman Sachs employee knowledgeable about company's position regarding naked short selling; knowledge of policies and procedures; knowledge of regulatory inquiries
Costello, Ann	Goldman Sachs employee knowledgeable about company's position regarding naked short selling
Reed (Brennan), Kelly	Goldman Sachs trader who executed short sales of TASER for Goldman Sachs's "Hard Stock Account"; knowledge of conversions, reverse conversions and flex options; knowledge of Hazan and Arenstein trading; knowledge of policies and procedures relating to short sales, options, conversions and flex options
Benz, Mike	Goldman Sachs proprietary trader who engaged in short sales of TASER
Bieler, Andrew	Goldman Sachs proprietary trader who engaged in short sales of TASER
Goddeeris, Cyril	Goldman Sachs proprietary trader who engaged in short sales of TASER
Levine, Brian	Goldman Sachs proprietary trader who engaged in short sales of TASER
Milkov, Milko	Goldman Sachs proprietary trader who engaged in short sales of TASER
Montesano, Joe	Goldman Sachs proprietary trader who engaged in short sales of TASER
Solomon, Noah	Goldman Sachs proprietary trader who engaged in short sales of TASER

Depshande, Maneesh	Goldman Sachs proprietary trader who engaged in short sales of TASER
Suth, Richard	Goldman Sachs proprietary trader who engaged in short sales of TASER
Ferjentsik, Steve	Goldman Sachs proprietary trader who engaged in short sales of TASER
Gridley, William	Goldman Sachs proprietary trader who engaged in short sales of TASER
Wang, Ted	Goldman Sachs proprietary trader who engaged in short sales of TASER
O'Connor, John	Goldman Sachs proprietary trader who engaged in short sales of TASER
Schulz, Christina	Goldman Sachs in-house counsel knowledgeable about regulatory matters involving conduct at issue in this litigation; verified interrogatory responses and has knowledge regarding the veracity of Goldman Sachs' response to Interrogatory No. 5 in Plaintiffs' Second Interrogatories to Defendants
Nelson, Lee	Goldman Sachs employee who has taken public positions on short selling
Santina, David	Goldman Sachs employee who was manager of hedging strategies group
Conley, William	Goldman Sachs co-Manager of Securities Lending group
Auwater, Peter	Goldman Sachs employee knowledgeable about regulatory examinations
Duggan, Brian	Goldman Sachs employee knowledgeable about regulatory examinations
Wade, Rick	Goldman Sachs employee knowledgeable about regulatory examinations
Ahearn, Kevin	Goldman Sachs employee knowledgeable about regulatory examinations
O'Malley, Steve	Goldman Sachs employee knowledgeable about regulatory examinations
Hohman, Todd	Goldman Sachs employee knowledgeable about regulatory examinations

Kerlin, Dennis	Goldman Sachs employee knowledgeable about regulatory examinations
Sigismondi, Peter	Goldman Sachs employee knowledgeable about regulatory examinations
Startseva, Elena	Goldman Sachs employee knowledgeable about regulatory examinations
Diaz, Armando	Goldman Sachs Managing Director with knowledge about regulatory inquiry
Feit, Norman	Goldman Sachs Managing Director with knowledge about regulatory inquiry
Broeckel, Janet A.	Goldman Sachs employee with knowledge about regulatory inquiry
Griffith, Donald E.	Goldman Sachs employee with knowledge about regulatory inquiry
Winztergahn, Michael	Goldman Sachs employee within Equity Finance Group
Troncoso, Alberto	Goldman Sachs compliance employee responsible for prime brokerage
Ginell, Michael	Goldman Sachs compliance employee responsible for prime brokerage
Johnston, Peter	Goldman Sachs Managing Director of operations for securities and clearing
Byron, Shawn	Goldman Sachs securities lending employee responsible for overseeing employees
Brett, Patrick	Goldman Sachs securities lending employee responsible for overseeing employees engaged in sourcing stock for loans
Giordano, Ralph	Goldman Sachs employee responsible for supervising employees responsible for monitoring compliance with rules and regulations for short sales
David, Joe	Goldman Sachs securities lending employee who supervised employees and responsible for settlement of trades

Defendants Merrill Lynch and Merrill Lynch Professional Clearing Corp.'s  
Employees and Agents:

Name	Knowledge
Alcantara, Romeo	Merrill Lynch employee in Risk Credit & Control group who is knowledgeable about procedures related to Regulation SHO and buy ins
Alexander, Robert	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Allota, Joseph	Merrill Lynch employee in Reg SHO Buy In Department who is knowledgeable about Regulation SHO
Anderson, Grady	Merrill Lynch employee knowledgeable about physical settlements of transactions
Attenson, Joel	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to buy ins
Babbitt, Keith	Merrill Lynch employee who was head of securities lending and is knowledgeable about Merrill Lynch Regulation SHO committee; knowledge of policies and procedures relating to market makers and option market makers; knowledge of policies and procedures relating to stocks with a negative rate and do not flip policies and procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Bastedo, Dan	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Bhavnani, Sharad	Merrill Lynch employee who handled retail trades and is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3

Brown, John J.	Merrill Lynch employee who is knowledgeable about Merrill Lynch Regulation SHO committee
Caffrey, Jennifer	Merrill Lynch manager of hard to borrow desk who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Chase, Dwayne	Merrill Lynch employee who is knowledgeable about Regulation SHO
Cleasby, Robert	Merrill Lynch head of stock loan who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Colangelo, Jude	Merrill Lynch employee who is knowledgeable about Merrill Lynch's clearance and settlement of transactions, including transactions in TASER securities
Connors, Michael	Merrill Lynch employee with knowledge about Merrill Lynch procedures and process for settling and processing transactions with DTCC
DiRocco, Arthur	Merrill Lynch head of Americas Securities Lending who is knowledgeable about whether company provided locates of TASER securities in accordance with laws, rules, and regulations
Dorenbos, Peter	Merrill Lynch Pro compliance officer responsible for overseeing Merrill Lynch's compliance with rules, regulations and laws applicable to short sales; knowledge of policies and procedures relating to market makers and option market makers; knowledge of policies and procedures relating to stocks with a negative rate and do not flip policies and procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Durant, Donna	Merrill Lynch Atlanta, Georgia employee knowledgeable about settlement procedures and fail management
Eckstein, Thomas	Merrill Lynch employee knowledgeable about ML

	Pro settlements procedures
Fennelly, John	Merrill Lynch employee in Americas Settlements who had responsibility for monitoring fails to deliver and fails to receive
Fremgen, Richard	Merrill Lynch employee in Americas and International Client Services who had responsibility for monitoring fails to deliver and fails to receive
Fremgen, Donna	Merrill Lynch employee responsible for securities and transfer processing
Garced, Desiree	Merrill Lynch employee who is knowledgeable about Regulation SHO
Genkinger, Robert	Merrill Lynch head of stock loan who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Gettens, Sean	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Glynn, Jennifer	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Goodwin, John	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Gordon, Devin	Merrill Lynch employee knowledgeable about procedures for buy-ins
Ho, Angela	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Howell, Albert	Merrill Lynch employee in Settlement Group who is knowledgeable about Reg SHO committee
Jaiman, James	Merrill Lynch employee knowledgeable about settlements with DTC
Janosi, Joe	Former Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Jimenez, Pilar	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations,



	and laws related to monitoring and measuring fails of institutional clients
Kasnia, Linda	Merrill Lynch employee in US Equity Client Services Group who had responsibility for monitoring fails to deliver and fails to receive
Kassim, Habideen	Merrill Lynch employee with knowledge regarding stock loan and buy in procedures for ML Pro
Lee, John T.	Former Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Lembo, Erin	Merrill Lynch employee knowledgeable about Merrill Lynch DTC settlement procedures
Magnocavallo, Ralph	Merrill Lynch employee in the Reg SHO buy in department who is knowledgeable about procedures involving Regulation SHO
Malda, Tony	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3 and Regulation SHO buy ins
Marques, Valarie	Merrill Lynch employee knowledgeable about fail reporting
Mastrianni, Joseph	Merrill Lynch Pro director/ compliance officer responsible for overseeing Merrill Lynch's compliance with rules, regulations and laws applicable to short sales; knowledge regarding verification of Merrill Lynch's response to Plaintiffs' Second Interrogatory No. 5 and the veracity thereof
Matthews, Brendan	Merrill Lynch employee in US Equity Client Services Group who had responsibility for monitoring fails to deliver and fails to receive
McCalman-Oxley, Gem	Merrill Lynch employee knowledgeable about DTC client services
Melz, Peter	Knowledgeable about ML Pro's contacts with Georgia, member of Regulation SHO committee; knowledge of policies and procedures relating to market makers and option market makers; knowledge

	of policies and procedures relating to stocks with a negative rate and do not flip policies and procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Messinger, Linda	Former ML Pro Chief Compliance Officer and Merrill Lynch employee who is knowledgeable about regulatory investigations, flips between ML Pro and Merrill Lynch, and flex options transactions; knowledge of policies and procedures relating to market makers and option market makers; knowledge of policies and procedures relating to stocks with a negative rate and do not flip policies and procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Millard, Fran	Merrill Lynch employee knowledgeable regarding buy-ins and fail control procedures
Miller, Maryelizabeth	Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Moerings, Nic	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Moore, Greg	Merrill Lynch manager of day-to-day demand team who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Motherway, Kevin	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Olmstead, John	Merrill Lynch employee who had responsibility for monitoring compliance with Rule 15c3-3
Oram, Thomas	Merrill Lynch compliance employee knowledgeable about ticket marking and supervisory procedures and

	reports
Ordonez, Carlos	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Parnassa, Kathryn	Merrill Lynch employee knowledgeable about fail reporting
Price, Jevon	Merrill Lynch employee knowledgeable about fail reporting
Primiano, Andrew	Merrill Lynch employee who is knowledgeable about Regulation SHO
Quintana, Eduardo	Merrill Lynch employee who is knowledgeable about Reg SHO committee
Rodriguez, Ernest	Merrill Lynch employee knowledgeable about settlement procedures
Roesch, Walter	Merrill Lynch employee who is knowledgeable about Merrill Lynch's clearance and settlement of transactions, including transactions in TASER securities
Ruth, Greg	Merrill Lynch employee knowledgeable about regulatory examinations
Sandiford, Keith	Merrill Lynch employee knowledgeable about settlement procedures with the DTC
Santangelo, Robert	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Soha, Timothy	Merrill Lynch employee knowledgeable about ML Pro Regulation SHO buy in procedures
Strohschein, Richie	ML Pro employee responsible for reconciliation and settlement of trades
Tirrell, William	Merrill Lynch employee who had responsibility for monitoring compliance with Rule 15c3-3
Tranfaglia, Thomas Jr.	Former President of ML Pro, knowledgeable about regulatory investigations, policy of flips between ML and ML Pro; knowledge of policies and procedures relating to market makers and option market makers; knowledge of policies and procedures relating to stocks with a negative rate and do not flip policies and

	procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Wallace, Brian	Merrill Lynch employee knowledgeable about Merrill Lynch fail and settlement procedures
Warshaw, Brian	Merrill Lynch director knowledge about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Whatley, JoAnn	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions; knowledge of policies and procedures relating to market makers and option market makers; knowledge of policies and procedures relating to stocks with a negative rate and do not flip policies and procedures; knowledge of trading in TASER; knowledge relating to Arenstein, Hazan, Group One, Cutler, Susquehanna, Solaris and other customers
Wojciehowski, Ben	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Law, Wing	Merrill Lynch employee who was a member of the Regulation SHO committee
Adams, Mark	Merrill Lynch employee who was a member of the Regulation SHO committee
Anerella, Roger	Merrill Lynch employee who was a member of the Regulation SHO committee
Callegari, John	Merrill Lynch employee who was a member of the Regulation SHO committee
DiMarco, Frank	Merrill Lynch employee who was a member of the Regulation SHO committee
Scoran, Lauri	Merrill Lynch employee who was a member of the Regulation SHO committee
Oppici, Brian	Merrill Lynch employee who was a member of the Regulation SHO committee
Marvello, Pat	Merrill Lynch employee who was a member of the Regulation SHO committee

Urkowitz, Brian	Merrill Lynch employee who was a member of the Regulation SHO committee
Willis, Mark	Merrill Lynch employee who was a member of the Regulation SHO committee
Winters, Chuck	Merrill Lynch employee who was a member of the Regulation SHO committee
Loftus, Michael	Merrill Lynch employee who was a member of the Regulation SHO committee
Panichi, John	Merrill Lynch trader responsible for trading TASER securities
Laino, Frank	Merrill Lynch trader responsible for trading TASER securities
Bastedo, Dan	Merrill Lynch Margin & Monetary Approval employee responsible for monitoring fails to deliver and fails to receive
Moir, Robert	Merrill Lynch employee who verified interrogatory responses and is knowledgeable about trade marking procedures
Catarcio, John	Merrill Lynch employee responsible for securities and transfer processing
Gifford, Doug	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Graczyk, James	Merrill Lynch employee who handled retail trades and is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Pezza, Larry	Merrill Lynch employee who handled retail trades and is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Marcus, Daniel	Merrill Lynch employee knowledgeable about regulatory investigations
Chatfield, Christopher	Merrill Lynch employee knowledgeable about regulatory investigations
Schreyer, Rudolph	Merrill Lynch employee knowledgeable about

	regulatory investigations
Swiman, Gary	Merrill Lynch employee knowledgeable about regulatory investigations
Gilbert, Scott	Merrill Lynch employee knowledgeable about regulatory investigations
Moskowitz-Hesse, Marla	Merrill Lynch employee knowledgeable about regulatory investigations
Kornblau, David L.	Merrill Lynch employee knowledgeable about regulatory investigations
Wallon, Shea	Merrill Lynch employee who verified interrogatory responses and has knowledge regarding the information contained in the interrogatory response and its veracity
Lyle, Wanda	Merrill Lynch employee knowledgeable about fail tracking
Lynch, Mike	Merrill Lynch employee knowledgeable about communications with SEC regarding regulation of short selling
Name	Knowledge
Alcantara, Romeo	Merrill Lynch employee in Risk Credit & Control group who is knowledgeable about procedures related to Regulation SHO and buy ins
Alexander, Robert	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Allota, Joseph	Merrill Lynch employee in Reg SHO Buy In Department who is knowledgeable about Regulation SHO
Anderson, Grady	Merrill Lynch employee knowledgeable about physical settlements of transactions
Attenson, Joel	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to buy ins
Babbitt, Keith	Merrill Lynch employee who was head of securities lending and is knowledgeable about Merrill Lynch Regulation SHO committee

Bastedo, Dan	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Bhavnani, Sharad	Merrill Lynch employee who handled retail trades and is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Brown, John J.	Merrill Lynch employee who is knowledgeable about Merrill Lynch Regulation SHO committee
Caffrey, Jennifer	Merrill Lynch manager of hard to borrow desk who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Chase, Dwayne	Merrill Lynch employee who is knowledgeable about Regulation SHO
Cleasby, Robert	Merrill Lynch head of stock loan who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Colangelo, Jude	Merrill Lynch employee who is knowledgeable about Merrill Lynch's clearance and settlement of transactions, including transactions in TASER securities
Connors, Michael	Merrill Lynch employee with knowledge about Merrill Lynch procedures and process for settling and processing transactions with DTCC
DiRocco, Arthur	Merrill Lynch head of Americas Securities Lending who is knowledgeable about whether company provided locates of TASER securities in accordance with laws, rules, and regulations
Dorenbos, Peter	Merrill Lynch Pro compliance officer responsible for overseeing Merrill Lynch's compliance with rules, regulations and laws applicable to short sales
Durant, Donna	Merrill Lynch Atlanta, Georgia employee knowledgeable about settlement procedures and fail management
Eckstein, Thomas	Merrill Lynch employee knowledgeable about ML



	Pro settlements procedures
Fennelly, John	Merrill Lynch employee in Americas Settlements who had responsibility for monitoring fails to deliver and fails to receive
Fremgen, Richard	Merrill Lynch employee in Americas and International Client Services who had responsibility for monitoring fails to deliver and fails to receive
Fremgen, Donna	Merrill Lynch employee responsible for securities and transfer processing
Garced, Desiree	Merrill Lynch employee who is knowledgeable about Regulation SHO
Genkinger, Robert	Merrill Lynch head of stock loan who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Gettens, Sean	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Glynn, Jennifer	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Goodwin, John	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Gordon, Devin	Merrill Lynch employee knowledgeable about procedures for buy-ins
Ho, Angela	Merrill Lynch employee knowledgeable about Merrill Lynch procedures for institutional clients and fails
Howell, Albert	Merrill Lynch employee in Settlement Group who is knowledgeable about Reg SHO committee
Jaiman, James	Merrill Lynch employee knowledgeable about settlements with DTC
Janosi, Joe	Former Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Jimenez, Pilar	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations,



	and laws related to monitoring and measuring fails of institutional clients
Kasnia, Linda	Merrill Lynch employee in US Equity Client Services Group who had responsibility for monitoring fails to deliver and fails to receive
Kassim, Habideen	Merrill Lynch employee with knowledge regarding stock loan and buy in procedures for ML Pro
Lee, John T.	Former Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Lembo, Erin	Merrill Lynch employee knowledgeable about Merrill Lynch DTC settlement procedures
Magnocavallo, Ralph	Merrill Lynch employee in the Reg SHO buy in department who is knowledgeable about procedures involving Regulation SHO
Malda, Tony	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3 and Regulation SHO buy ins
Marques, Valarie	Merrill Lynch employee knowledgeable about fail reporting
Mastrianni, Joseph	Merrill Lynch Pro director/ compliance officer responsible for overseeing Merrill Lynch's compliance with rules, regulations and laws applicable to short sales
Matthews, Brendan	Merrill Lynch employee in US Equity Client Services Group who had responsibility for monitoring fails to deliver and fails to receive
McCalman-Oxley, Gem	Merrill Lynch employee knowledgeable about DTC client services
Melz, Peter	Knowledgeable about ML Pro's contacts with Georgia, member of Regulation SHO committee
Messinger, Linda	Former ML Pro Chief Compliance Officer and Merrill Lynch employee who is knowledgeable about regulatory investigations, flips between ML Pro and Merrill Lynch, and flex options transactions

Millard, Fran	Merrill Lynch employee knowledgeable regarding buy-ins and fail control procedures
Miller, Maryelizabeth	Merrill Lynch Director of Settlement Services who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Moerings, Nic	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Moore, Greg	Merrill Lynch manager of day-to-day demand team who is knowledgeable about Merrill Lynch's policies, practices, and systems regarding the amount of TASER securities, options, and derivatives borrowed
Motherway, Kevin	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Olmstead, John	Merrill Lynch employee who had responsibility for monitoring compliance with Rule 15c3-3
Oram, Thomas	Merrill Lynch compliance employee knowledgeable about ticket marking and supervisory procedures and reports
Ordonez, Carlos	Merrill Lynch employee in Margin & Monetary Approval Department who had responsibility for monitoring fails to deliver and fails to receive
Parnassa, Kathryn	Merrill Lynch employee knowledgeable about fail reporting
Price, Jevon	Merrill Lynch employee knowledgeable about fail reporting
Primiano, Andrew	Merrill Lynch employee who is knowledgeable about Regulation SHO
Quintana, Eduardo	Merrill Lynch employee who is knowledgeable about Reg SHO committee
Rodriguez, Ernest	Merrill Lynch employee knowledgeable about settlement procedures
Roesch, Walter	Merrill Lynch employee who is knowledgeable about Merrill Lynch's clearance and settlement of

	transactions, including transactions in TASER securities
Ruth, Greg	Merrill Lynch employee knowledgeable about regulatory examinations
Sandiford, Keith	Merrill Lynch employee knowledgeable about settlement procedures with the DTC
Santangelo, Robert	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Soha, Timothy	Merrill Lynch employee knowledgeable about ML Pro Regulation SHO buy in procedures
Strohschein, Richie	ML Pro employee responsible for reconciliation and settlement of trades
Tirrell, William	Merrill Lynch employee who had responsibility for monitoring compliance with Rule 15c3-3
Tranfaglia, Thomas Jr.	Former President of ML Pro, knowledgeable about regulatory investigations, policy of flips between ML and ML Pro
Wallace, Brian	Merrill Lynch employee knowledgeable about Merrill Lynch fail and settlement procedures
Warshaw, Brian	Merrill Lynch director knowledge about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Whatley, JoAnn	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to settlement of transactions
Wojciehowski, Ben	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Law, Wing	Merrill Lynch employee who was a member of the Regulation SHO committee
Adams, Mark	Merrill Lynch employee who was a member of the Regulation SHO committee
Anerella, Roger	Merrill Lynch employee who was a member of the Regulation SHO committee
Callegari, John	Merrill Lynch employee who was a member of the Regulation SHO committee

DiMarco, Frank	Merrill Lynch employee who was a member of the Regulation SHO committee
Scoran, Lauri	Merrill Lynch employee who was a member of the Regulation SHO committee
Oppici, Brian	Merrill Lynch employee who was a member of the Regulation SHO committee
Marvello, Pat	Merrill Lynch employee who was a member of the Regulation SHO committee
Urkowitz, Brian	Merrill Lynch employee who was a member of the Regulation SHO committee
Willis, Mark	Merrill Lynch employee who was a member of the Regulation SHO committee
Winters, Chuck	Merrill Lynch employee who was a member of the Regulation SHO committee
Loftus, Michael	Merrill Lynch employee who was a member of the Regulation SHO committee
Panichi, John	Merrill Lynch trader responsible for trading TASER securities
Laino, Frank	Merrill Lynch trader responsible for trading TASER securities
Bastedo, Dan	Merrill Lynch Margin & Monetary Approval employee responsible for monitoring fails to deliver and fails to receive
Moir, Robert	Merrill Lynch employee who verified interrogatory responses and is knowledgeable about trade marking procedures
Catarcio, John	Merrill Lynch employee responsible for securities and transfer processing
Gifford, Doug	Merrill Lynch employee who is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to monitoring and measuring fails of institutional clients
Graczyk, James	Merrill Lynch employee who handled retail trades and is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Pezza, Larry	Merrill Lynch employee who handled retail trades and

	is knowledgeable about Merrill Lynch's compliance with rules, regulations, and laws related to SEC Rule 15c3-3
Marcus, Daniel	Merrill Lynch employee knowledgeable about regulatory investigations
Chatfield, Christopher	Merrill Lynch employee knowledgeable about regulatory investigations
Schreyer, Rudolph	Merrill Lynch employee knowledgeable about regulatory investigations
Swiman, Gary	Merrill Lynch employee knowledgeable about regulatory investigations
Gilbert, Scott	Merrill Lynch employee knowledgeable about regulatory investigations
Moskowitz-Hesse, Marla	Merrill Lynch employee knowledgeable about regulatory investigations
Kornblau, David L.	Merrill Lynch employee knowledgeable about regulatory investigations
Wallon, Shea	Merrill Lynch employee who verified interrogatory responses
Lyle, Wanda	Merrill Lynch employee knowledgeable about fail tracking
Lynch, Mike	Merrill Lynch employee knowledgeable about communications with SEC regarding regulation of short selling

Defendant Morgan Stanley's Employees and Agents:

Name	Knowledge
Babicke, James	Morgan Stanley employee knowledgeable about Morgan Stanley policies and procedures related to short sales and affirmative determinations
Barrese, Paul	Morgan Stanley employee knowledgeable about policies and procedures related to buy-ins
Beckford, Julie-Anne	Morgan Stanley employee knowledgeable about policies and procedures related to buy-ins

Berke, Matt	Morgan Stanley employee who was Global Head of Risk Management and knowledgeable regarding regulatory supervision
Brown, Carol	Morgan Stanley employee knowledgeable about policies and procedures related to buy-ins
Caggiano, Joseph	Morgan Stanley Institutional Securities Group-Settlements employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Calandra, Michael	Morgan Stanley employee knowledgeable about policies and procedures regarding settlement of transactions
Calcagno, Marce	Morgan Stanley compliance employee knowledgeable about policies and procedures regarding short sales
Camacho, Vic	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance related to buy-ins
Cardaci, Michael	Morgan Stanley employee knowledgeable about policies and procedures regarding securities lending
Casey, Kevin T.	Morgan Stanley employee knowledgeable about regulatory investigations
Castagna, Anthony	Morgan Stanley employee knowledgeable about policies and procedures regarding mismarked tickets
Catigano, Carela	Morgan Stanley employee knowledgeable about policies and procedures regarding buy-ins
Chanin, Jason	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance related to buy-ins and settlement
Charles, Jerrol	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance related to settlements
Chiu, Ben	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance related to short sales and affirmative determinations
Christoff, Christo	Morgan Stanley employee knowledgeable about policies and procedures regarding settlements
Clark, John K.	Former Morgan Stanley Institutional Equities Sales and Trading Group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws

	governing short sales and clearance of securities
Collazo, Angel	Morgan Stanley employee knowledgeable about policies and procedures regarding fails
Cuilla, Michelle	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance with Regulation SHO
Dadetto, Rachel	Morgan Stanley employee knowledgeable about policies and procedures regarding settlement
Dahab, Victoria	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Demizio, Darin	Morgan Stanley employee knowledgeable about securities lending policies and procedures
DeScrito, Chris	Morgan Stanley Operations employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Diaz, Catherine	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Edwards, Kim	Morgan Stanley employee knowledgeable about policies and procedures regarding security loans
Esposito, Antonella	Morgan Stanley OCC Options Clearance group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Faughnan, Christopher	Morgan Stanley employee knowledgeable about policies and procedures regarding settlements
Fitzgerald, Paul	Morgan Stanley employee knowledgeable about Morgan Stanley's communications with third parties regarding short selling
Galasso, David	Morgan Stanley employee knowledgeable about policies and procedures regarding settlements
Gerspach, Jim	Morgan Stanley employee knowledgeable about policies and procedures regarding affirmative determinations
Giardina, Enrico	Morgan Stanley employee knowledgeable about policies and procedures regarding failures to deliver



Haniffy, Colin	Morgan Stanley employee knowledgeable about policies and procedures regarding buy-ins
Hennessey, Jacqueline	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Holley, Rob	Morgan Stanley employee knowledgeable about policies and procedures regarding possession and control of securities
Horstmann, Matt	Morgan Stanley Institutional Securities Oversight Group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Johnson, Danon	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Kaplansky, Aaron	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and delivery obligations
Keag, Ingrid	Morgan Stanley employee knowledgeable about policies and practices regarding SEC Rule 15c3-3 and knowledgeable about interrogatory response she verified
Kralik, Stanley	Former Morgan Stanley OCC Options Clearance group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Krause, Gard	Morgan Stanley Institutional Equities Sales and Trading Group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Limeri, Michael	Morgan Stanley Institutional Securities Group-Settlements employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Loshiavo, Richard	Morgan Stanley employee knowledgeable about policies and procedures regarding securities lending
Luburic, Ivan	Morgan Stanley employee knowledgeable about policies and procedures regarding securities lending and



	regulatory examinations
Lynch, Gary	Morgan Stanley employee knowledgeable about communications with SEC regarding regulation of short selling
Lynn, Robert	Morgan Stanley employee knowledgeable about buy-in procedures
Mack, John	Former head of Morgan Stanley knowledgeable about communications regarding regulation of naked short selling
Manzino, Michael	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
McKenzie, John	Morgan Stanley employee knowledgeable about options transactions
Mettling, Phil	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Nides, Thomas	Morgan Stanley employee knowledgeable about communications with SEC regarding regulation of short selling
Park, John	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Patel, Roshni	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and fails
Perina, John	Morgan Stanley employee knowledgeable about policies and procedures regarding securities lending
Prince, Lane	Morgan Stanley employee knowledgeable about policies and procedures regarding failures to deliver
Pydeski, David	Morgan Stanley employee knowledgeable about policies and procedures regarding settlement of transactions
Ratzesberger, John	Morgan Stanley OCC Options Clearance group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Richard, William	Morgan Stanley compliance employee knowledgeable about policies and procedures regarding fails

Riekstins, Samantha	Morgan Stanley compliance employee knowledgeable about settlement of transactions
Rioux, John	Former Morgan Stanley Securities Lending employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Rockoff, Scott	Morgan Stanley Securities Lending employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Rubin, Gerry	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Ryan, Justin	Morgan Stanley employee knowledgeable about policies and procedures regarding settlements
Sanchez, Elaine	Morgan Stanley employee knowledgeable about policies and procedures regarding settlements
Schiavo, Anthony	Morgan Stanley employee knowledgeable about the oversight of Morgan Stanley's lending of domestic securities
Schneider, Steven	Morgan Stanley Securities Lending employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Schwirzbin, Larry	Morgan Stanley Securities Lending employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Serpin, Eric	Morgan Stanley employee knowledgeable about policies and procedures regarding buy-ins
Shannon, James	Morgan Stanley employee knowledgeable about policies and procedures regarding prime brokerage
Shaughnessy, Susan	Former Morgan Stanley OCC Options Clearance group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Smith, William A.	Morgan Stanley employee knowledgeable about policies

	and procedures regarding settlement
Spano, Joseph	Morgan Stanley employee knowledgeable about policies and procedures regarding failures to deliver
Stella, Anna Marsillo	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Stern, Michael	Morgan Stanley Regulatory Group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Tell, Martin	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
Troncoso, Alberto	Former Morgan Stanley Securities Lending employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Tsang, Jonmin	Morgan Stanley compliance employee knowledgeable about Morgan Stanley policies and procedures relating to Regulation SHO
Valnetin, Tammy	Morgan Stanley employee knowledgeable about policies and procedures regarding short sales and affirmative determinations
West, Bruce	Morgan Stanley employee knowledgeable about policies and procedures regarding securities lending
Ziegenbalg, Richard	Morgan Stanley Regulatory Group employee knowledgeable about Morgan Stanley's compliance with rules, regulations, and laws governing short sales and clearance of securities
Ostergaard, Jill	Morgan Stanley employee knowledgeable about information for which she verified interrogatory response and about regulatory investigations
Wingfield, Alita	Morgan Stanley employee knowledgeable about information for which she verified interrogatory response
Barone, Nicholas	Morgan Stanley employee knowledgeable about information for which he verified interrogatory response

Hammond, Larry	Morgan Stanley employee knowledgeable about information for which he verified interrogatory response and the veracity thereof
Herzer, Charlene	Morgan Stanley employee knowledgeable about information for which she verified interrogatory response
McManus, Tom	Morgan Stanley employee knowledgeable about communications with SEC regarding regulation of short selling
Faulkner, John H.	Morgan Stanley General Counsel knowledgeable about regulatory investigations
Romani, Dina	Morgan Stanley employee knowledgeable about regulatory investigations
O'Connor, Rob	Morgan Stanley employee knowledgeable about regulatory investigations
Tartamella, Lillian	Morgan Stanley employee knowledgeable about regulatory investigations
Dinallo, Eric	Former Morgan Stanley in-house counsel knowledgeable about regulatory investigations
Doyle, James	Morgan Stanley in-house counsel knowledgeable about regulatory investigations
Koppenol, Robert	Morgan Stanley employee knowledgeable about regulatory investigations
Shellenberger, David	Morgan Stanley in-house counsel knowledgeable about regulatory investigations
Osmera, Kyle	Morgan Stanley employee knowledgeable about regulatory investigations
Taggart, Richard	Morgan Stanley employee knowledgeable about policies and procedures regarding compliance with Regulation SHO
Mortimer, Pat	Morgan Stanley employee knowledgeable about policies and procedures related to execution of prime brokerage transactions
Byrne, William	Morgan Stanley employee knowledgeable about policies and procedures related to execution of prime brokerage transactions
Wipf, Thomas	Morgan Stanley employee knowledgeable about

	securities lending
Tay, Sevasti	Morgan Stanley compliance employee knowledgeable about short sales
Daffner, Marci	Morgan Stanley compliance employee knowledgeable about short sales
Richter, Rose-Anne	Morgan Stanley compliance employee knowledgeable about short sales
Bullard, Dennine	Morgan Stanley compliance employee knowledgeable about short sales and regulatory reporting
Blaine, Belinda	Morgan Stanley compliance employee knowledgeable about short sales
Rothman, Phil	Morgan Stanley employee who was prior head of Inquiries Group and would be knowledgeable about regulatory inquiries and/or investigations
Caracappa, Tricia	Morgan Stanley compliance employee knowledgeable about short sales

Defendant UBS Securities' Employees and Agents:

Name	Knowledge
Aluise, Karen	UBS employee knowledgeable about policies and procedures regarding short selling
Anderson, Scott	UBS employee knowledgeable about policies and procedures regarding short selling
Appelson, Steve	UBS employee knowledgeable about Compliance Department and short sales
Benson, Michelle	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Burke, Joseph	UBS employee knowledgeable about Compliance Department and short sales
Buscemi, Edward	UBS employee knowledgeable about policies and procedures regarding short selling
Butler, Lisa	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Capano, Michael	UBS employee knowledgeable about policies and procedures regarding settlement and clearance

Capello, Mike	UBS employee knowledgeable about Compliance Department and short sales
Centrangola, Michael	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Citera, Gerard	UBS employee knowledgeable about policies and procedures regarding short selling
Costanzo, Jared	UBS employee knowledgeable about policies and procedures regarding fail on sale committee
DiMarco, Patrick	UBS employee knowledgeable about Compliance Department and short sales
DiRenzo, Enzo	UBS employee knowledgeable about policies and procedures regarding affirmative determinations
Ferrante, Marc	UBS employee knowledgeable about policies and procedures regarding buy-ins
Finora, Deana	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Fusilio, Ron	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Garlich, Therese	UBS employee knowledgeable about Compliance Department and short sales
Gentile, Joseph	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Gerlach, Elizabeth	UBS employee knowledgeable about Compliance Department and short sales
Giacalone, Thomas	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Giattini, Peter	UBS employee knowledgeable about failures to deliver
Gordon, Nancy	UBS employee knowledgeable about failures to deliver
Greenbaum, Frederic	UBS employee knowledgeable about policies and procedures regarding short selling
Hagstrom, Chris	UBS employee knowledgeable about policies and procedures regarding short selling
Harold, Marc	UBS employee knowledgeable about policies and

	procedures regarding short selling
Harvey, Will	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Hunter, Jeffrey	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Karabots, Denise	UBS employee knowledgeable about policies and procedures regarding short selling
Kelleher, Michael	UBS employee knowledgeable about policies and procedures regarding short selling
Kelly, Neal	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Kiss, Pamela	UBS employee knowledgeable about policies and procedures regarding short selling
Kloin, Scott	UBS employee knowledgeable about policies and procedures regarding short selling
Lede, Carlos	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Levene, Steven	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Lucks, Albert	UBS employee knowledgeable about policies and procedures regarding short selling
Lynch, David	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Madaio, Michael	UBS employee knowledgeable about policies and procedures regarding short selling
Marciante, Robert	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Mattei, Robert	UBS employee knowledgeable about policies and procedures regarding failures to deliver
McDade, James	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Miles, David	UBS employee knowledgeable about policies and procedures regarding settlement and clearance



Modesto, Anthony	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Monteiro, Jason	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Moskowitz, Doug	UBS employee knowledgeable about policies and procedures regarding prime brokerage
Mulcahy, Robert	UBS employee knowledgeable about policies and procedures regarding regulatory inquiries
Nacinik, John	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Pappas, Perry	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Price, Matthew	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Prologo, Debbie	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Riley, Shawn	UBS employee knowledgeable about policies and procedures regarding settlement and clearance
Rodriguez, Diana	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Roux, Matthew	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Silvio, Anthony	UBS employee knowledgeable about policies and procedures regarding affirmative determinations and securities lending
Stellwagen, Matthew	UBS employee knowledgeable about regulatory inquiries
Taylor, Constance	UBS employee knowledgeable about policies and procedures regarding short selling
Wendell, Karen	UBS employee knowledgeable about policies and procedures regarding short selling
Kelly, David	UBS employee knowledgeable about policies and procedures regarding short selling



Brooks, Edward	UBS employee knowledgeable about policies and procedures regarding failures to deliver
Ingram, Laurie	UBS employee knowledgeable about verification of interrogatories and veracity thereof
Romaine, Judith	UBS employee knowledgeable about regulatory inquiry
Mullen, Lauren	UBS employee knowledgeable about regulatory inquiry
Edwards, Mia	UBS employee knowledgeable about regulatory inquiry
Byun, Rhonda	UBS employee knowledgeable about regulatory inquiry
Polanin, John	UBS employee knowledgeable about regulatory inquiry
Wolf, Robert	UBS employee knowledgeable about regulatory inquiry